10566521 - GAU: 1714

10/966521

Express Mail #EV785651746US 1AP20 Rec'd PCT/FTO 3 0 JAN-2006

Attorney Docket # 5367-219PUS

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Phase PCT Application of

Volker HÄRLE

Int'l PCT Serial No.: PCT/DE2004/001594

Int'l Filing Date::

22 July 2004

For:

Method for the Production of a Plurality of

Opto-Electronic Semiconductor Chips and

Opto-Electronic Semiconductor Chip

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT

SIR:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO/SB/08a. Copies of the listed documents are also enclosed.

US Published application no. 2005/0022725 corresponds to DE 102 06 751.

It is respectfully requested that the above information be considered by the Examiner and that the copy of the enclosed Form PTO/SB/08a be returned indicating that such information has been considered.

In accordance with 37 C.F.R §§1.97(g) and (h), the filing of this Information Disclosure Statement should not be construed as a representation that a search has been made or

(105665235 **2**Ap: 1714

IAP20 Res'0 TOTALLO 30 JAN 2006

that information cited is, or is considered to be, material to patentability as defined in §1.56(b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant(s) reserve(s) the right to prove that the date of publication is in fact different.

If any fees or charges are deemed required at this time in connection with the application, the same may be charged to our Patent and Trademark Office Deposit Account No. 03-2412.

Respectfully submitted, COHEN, PONTANI, LIEBERMAN & PAVANE

By:

Thomas Langer Reg. No. 27,264

551 Fifth Avenue, Suite 1210 New York, New York 10176

(212) 687-2770

Dated: January 30, 2006

10/95632 fau: 1714

# IAP20 Resid 1011.110 30 JAN 2006

Express Mail #EV785651746US Patent

Attorney Docket # 5367-219PUS

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Phase PCT Application of

Volker HÄRLE

Int'l PCT Serial No.: PCT/DE2004/001594

Int'l Filing Date::

22 July 2004

For:

Method for the Production of a Plurality of

Opto-Electronic Semiconductor Chips and

Opto-Electronic Semiconductor Chip

## INFORMATION DISCLOSURE STATEMENT

Mail Stop **PCT** Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

SIR:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO SB/08A.

In accordance with 37 C.F.R §§1.97(g) and (h), the filing of this Information Disclosure Statement should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56(b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant(s) reserve(s) the right to prove that the date of publication is in fact different.

1 GAU: 1714

## IAP20 Res'd POTATO 30 JAN 2006

Submitted herewith is a copy of the International Search Report issued in connection with International Application on which the present U.S. National Phase application is based.

Copies of the references cited in the International Search Report have been supplied by WIPO to the USPTO. Therefore, copies of the cited references in the International Search Report are not being provided herewith in accordance with current U.S. practice because they should be on file already at the USPTO.

It is respectfully requested that the Examiner return an initialed copy of the attached Form PTO SB/08A to confirm that the publications supplied by WIPO and listed therein have been considered and made of record.

Respectfully submitted, COHEN, PONTANI, LIEBERMAN & PAVANE

By

Thomas Langer

Reg. No. 27,264

551 Fifth Avenue, Suite 1210

New York, New York 10176

(212) 687-2770

Dated: January 30, 2006

Approved for use through 04/30/2003. OMB 065

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for Form 1449/PTO	Complete if Known		
	Application Number	10/266521	
INFORMATION DISCLOSURE	Filing Date		
STATEMENT BY APPLICANT	First Named Inventor	Volker HÄRLE	
(Use as many sheets as necessary)	Art Unit		
(Ose as many sneets as necessary)	Examiner Name		
Sheet 1 of 1	Attorney Docket Number	5367-219PUS	

		1	U.S. PATENT	<b>DOCUMENTS</b>	
Examiner Initials*	Cite No. 1	Document Number  Number-Kind-Code <sup>2 (if known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		US-2003/0138983 A1	07/24/2003	Biwa et al.	Figures Appear
		US-2005/0022725 A1	02/03/2005	Jürgensen et al.	
		US-			

Examiner Initials*	Cite No. 1	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or	T.e
		Country Code <sup>3-</sup> Number <sup>4-</sup> Kind-Code <sup>5</sup> (if known	M.M. 55 1111	Applicant of Cited Document	Relevant Figures Appear	
		EP 1 329 961 A2	01/17/2003	Sugiyama et al.		
		DE 102 06 751 A1	07/03/2002	Jürgensen et al.		
		DE 199 11 717 A1	09/28/2000	Späth et al.		Abstract

İ	Examiner Signature	/Matthew Song/	Date Considered	5/9/2010	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Officer, U.S. Department of Commerce Washington DC 20231. DO NOTSEND FEES OF COMPLETE TO THIS TO THIS TO THE NOTE OF THE POWNES OF THE POWNE

1 0 5 6 6 570/5B/08 Approved for use through 04/30/2003. OMB 0651-003

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

PAPZURES OF STATES OF THE STAT Under the Paperwork Reduction Act of 1995, no persons are required to respond to

Substitute for Form 1449/PTO					Complete if Known		
					Application Number	<b>AU/</b> 500521	
INDO	DMATIO	NI TNI	CCLO	CLIDE	Filing Date		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)					First Named Inventor	Volker HÄRLE	
				CANT	Art Unit		
	(Use as many si	neets as r	necessary)		Examiner Name		
Sheet	2	of	2		Attorney Docket Number	5367-219PUS	

Examiner Initials*	Cite	NON PATENT LITERATURE DOCUMENTS  Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	T <sup>2</sup>
Examiner initials*	No. 1	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	1
		P.R. Hageman et al., "Improvement of the Optical and Structural Properties of MOCVD Grown GaN on Sapphire by an in-situ SiN Treatment", Willey-	
		VCH Verlag Berlin GmbH, phys. Stat. Sol. (a), Vol. 88, No. 2, pp. 659-662,	
		(2001).	
			-
	:		

Examiner Signature	/Matthew Song/	Date Considered	5/9/2010	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington DC 20231. DO NOTATION FIRST TO HIM SOREST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST TO HIM SOREST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST TO HIM SOREST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 10 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC 20231. DO NOTATION FIRST SET 2023 (Commerce Washington DC

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for	Form 1449/PTO	Complete if Known		
		Application Number	10/566521	
INEC	DRMATION DISCLOSURE	Filing Date	8013003CI	
	TEMENT BY APPLICANT	First Named Inventor	Volker HÄRLE	
SIA	(Use as many sheets as necessary)	Art Unit		
	(Ose as many sheets as necessary)	Examiner Name		
Sheet	l of 2	Attorney Docket Number	5367-219PUS	

			HC DATE	NT DOCUMENTS	
Examiner Initials*	Cite No. 1	Number-Kind-Code 2 (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-6,110,277 A	08/29/2000	Braun et al.	
		US-			

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. 1	Foreign Patent Document  Country Code <sup>3-</sup> Number <sup>4-</sup> Kind-Code <sup>5</sup> (if known	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>	
		EP 0 472 221 A2	02/26/1992	NEC Corporation			
		EP 1 005 067 A2	05/31/2000	Sony Corporation			
		EP 0 388 733 A1	09/26/1990	Fujitsu Limited			
		JP 05 226781 A	12/13/1993	Fujitsu Ltd.			

Examiner Signature	Date Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOTATION FOR THE TO THE TOTAL TO THE TOTAL PROPERTY OF COMPLETED FOR TO THE TOTAL PROPERTY OF COMPLETED FOR TOTAL PROPER

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for Form 1449/PTO				Complete if Known		
				Application Number	10/566521	
INEOD	MATIO	NI DI	CI OCUDE	Filing Date	1	
	INFORMATION DISCLOSURE STATEMENT BY APPLICANT			First Named Inventor	Volker HÄRLE	
SIAII				Art Unit		
	(Use as many sheets as necessary)		Examiner Name			
Sheet	2	of	2	Attorney Docket	5367-219PUS	
				Number		

Examiner Initials* Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  Yang et al., "Selective area deposited blue GaN-InGaN multiple-quantum well light emitting diodes over silicon substrates", Applied Physics  Letters, American Institute of Physics, Vol. 76, No. 3, pp. 273-275, January 17, 2000  Miyata et al., "Selective growth of nanocrystalline Si dots using an ultrathin Si oxide/oxynitride mask", Applied Physics Letters, American Institute of Physics, New York, Vol. 77, No. 11, pp. 1620-1622, September 11, 2000	T <sup>2</sup>
	well light emitting diodes over silicon substrates", Applied Physics  Letters, American Institute of Physics, Vol. 76, No. 3, pp. 273-275,  January 17, 2000  Miyata et al., "Selective growth of nanocrystalline Si dots using an  ultrathin Si oxide/oxynitride mask", Applied Physics Letters, American  Institute of Physics, New York, Vol. 77, No. 11, pp. 1620-1622,	
	Letters, American Institute of Physics, Vol. 76, No. 3, pp. 2/3-275, January 17, 2000  Miyata et al., "Selective growth of nanocrystalline Si dots using an ultrathin Si oxide/oxynitride mask", Applied Physics Letters, American Institute of Physics, New York, Vol. 77, No. 11, pp. 1620-1622,	
	January 17, 2000  Miyata et al., "Selective growth of nanocrystalline Si dots using an ultrathin Si oxide/oxynitride mask", Applied Physics Letters, American Institute of Physics, New York, Vol. 77, No. 11, pp. 1620-1622,	
	Miyata et al., "Selective growth of nanocrystalline Si dots using an ultrathin Si oxide/oxynitride mask", Applied Physics Letters, American Institute of Physics, New York, Vol. 77, No. 11, pp. 1620-1622,	
	ultrathin Si oxide/oxynitride mask", Applied Physics Letters, American Institute of Physics, New York, Vol. 77, No. 11, pp. 1620-1622,	
	Institute of Physics, New York, Vol. 77, No. 11, pp. 1620-1622,	
J		

Examiner Signature /Matthew Song/ Date Consider	05/09/2010

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 'Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOASEND HELE OF COMPLETE THE STOCKED HELE OF COMPLETE